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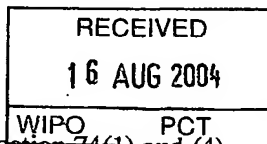
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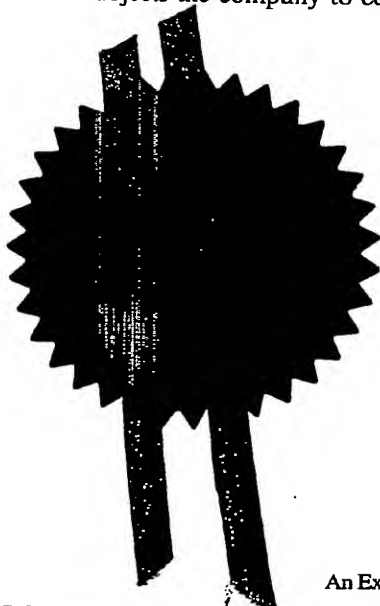


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1. **Patents Form 1/77**Patents Act 1977
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20 JUN 2003

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20JUN03 ESI/29-1 002820
P01/7700 0.00-0314440.9**Request for grant of a patent**

(See the notes on the back of this form. You can also get an explanatory leaflet from the Patent Office to help you fill in this form)

The Patent Office

Cardiff Road
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South Wales
NP10 8QQ

1. Your reference **P04007GB**
2. Patent application number
(The Patent Office will fill in this part) **0314440.9** **20 JUN 2003**
3. Full name, address and postcode of the or of each applicant (underline all surnames)
SHOWBUSINESS SOFTWARE LTD
137 Euston Road
London
NW1 2AA
England
8658213001
GB
- Patents ADP number (if you know it)
- If the applicant is a corporate body, give the country/state of its incorporation
4. Title of the invention
SYSTEM FOR FACILITATING MANAGEMENT AND ORGANISATIONAL DEVELOPMENT PROCESSES
5. Name of your agent (if you have one)
LAURENCE SHAW & ASSOCIATES
Metropolitan House
1 Hagley Road, Edgbaston
Birmingham B16 8TG
- "Address for service" in the United Kingdom to which all correspondence should be sent (including the postcode)
- Patents ADP number (if you know it) **13623001**
6. If you are declaring priority from one or more earlier patent applications, give the country and the date of filing of the or of each of these earlier applications and (if you know it) the or each application number
- | Country | Priority application number (if you know it) | Date of filing (day / month / year) |
|---------|--|-------------------------------------|
| | | |
7. If this application is divided or otherwise derived from an earlier UK application, give the number and the filing date of the earlier application
- | Number of earlier application | Date of filing (day / month / year) |
|-------------------------------|-------------------------------------|
| | |
8. Is a statement of inventorship and of right to grant of a patent required in support of this request? (Answer 'Yes' if:
- a) any applicant named in part 3 is not an inventor, or
 - b) there is an inventor who is not named as an applicant, or
 - c) any named applicant is a corporate body.
- See note (d)) **Yes**

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Patents Form 1/77

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Continuation sheets of this form

Description

11

Claim(s)

0

Abstract

0

Drawing(s)

2 only

10. If you are also filing any of the following, state how many against each item.

Priority documents

Translations of priority documents

Statement of inventorship and right to grant of a patent (Patents Form 7/77)

Request for preliminary examination and search (Patents Form 9/77)

Request for substantive examination (Patents Form 10/77)

Any other documents (please specify)

11.

I/We request the grant of a patent on the basis of this application.

Signature

LAURENCE SHAW & ASSOCIATES

Date 20/6/03

12. Name and daytime telephone number of person to contact in the United Kingdom

Edward C Dowler

0121 454 4962

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- Write your answers in capital letters using black ink or you may type them.
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Agents ref: P04007GB

SYSTEM FOR FACILITATING MANAGEMENT AND ORGANISATIONAL DEVELOPMENT PROCESSES

This invention relates to a system for facilitating management and organisational development and in particular for supporting the processes of expertise capture, management, transformation and capacity building. An object is to provide a system aimed at the translation of intention into actions for organisations of any scale even spanning boundaries of ownership, management and location.

Transformation (significant structural and process change) is a pressing requirement for governments (to support Service Delivery) and corporations to support strategic change and good corporate governance. It is becoming widely accepted that the challenge for CEOs, Executives and Managers in public and private sectors is not so much to create good strategy and policy, but to effectively implement policy and strategy. An individual can manage a project or program with a to-do-list linked to certain project objectives. For an organisation of many people, the complexity of managing objectives and actions limits the ability to maintain effective alignment, coordination and delivery. Potential economies of scale are lost to inefficiencies of inconsistent objectives and uncoordinated actions.

Even small organisations are often ineffective and inefficient because different people in different parts of the organisation are working in different directions which at worst cancel out or at best do not support one another optimally.

Organisations and networks of organisations often make the same mistakes repeatedly because they fail to learn from experience.

A person in a role or function gains important knowledge and experience. When they move on or are replaced, their knowledge goes with them.

Search engines and knowledge discovery tools help users to find information they need from a mass of available information created for many different purposes. However, the amount of information that becomes available can become excessive, particularly when there is no effective filing system.

Also, when a process such as a complex change program is being contemplated, it may become clear at the outset that the management capacity available, i.e. the management experience, competence and skills needed, is insufficient. Lack of management capacity is a major limitation to large change programs, including, for example, the implementation of e-government.

An object of the invention, when realised as a software program and supported by an appropriate management process, is to provide a way of defining implementable strategy and policy together with an effective implementation strategy and policy together with an effective implementation and delivery engine for an organisation of any scale. Another object to assist in aligning actions across an organisation or network of organisations with a consistent set of objectives.

Further objects of the current invention is to provide a means for systematically harvesting learning from experience and making it available for re-use by others across an organisation or network of organisations, and for systematically capturing the history and experience of personnel so that their role or function is available to a future replacement. Learning is then effectively harvested by use of the system.

Yet further objects are to provide a significant improvement in the overall process of knowledge creation, capture, discovery and re-use. This is done by capturing knowledge linked to the strategy or objectives of an organisation. In this invention it is ensured that knowledge is metatagged and 'filed' against the objective(s) which it supports as it is created. As a result, it can be rapidly retrieved to support a user in meeting a specific objective.

Finally, especially when lack of management capacity is a problem, the invention aims to increase or build that capacity by enabling an organisation to re-use its experience, competence and skills using tools such as the capture of roadmaps, checklists and processes as re-useable scorecards to support on-the-job learning.

According to the invention, there is provided a computer, software, method and/or computer screen display comprising any one or more or any combination of the features defined in the respective paragraphs numbered 1 to 24 hereinbelow.

Throughout this specification, the words "comprise", "comprises" and "comprising" means "include", "includes" and "including" as the case may be, and also "consist of" consists of" and "consisting of" as appropriate.

The following abbreviations are used herein:

Objective, Critical Success Factor (CSF) (means same as Key Result Area, or Key Performance Area), Key Performance Indicator (KPI);

Perspective; Critical Success Factor, Key Performance Indicator

Key Transformation Indicator (KTI);

Key Survey Indicator (KSI).

Herein, where we associate knowledge, security or other attributes to a KPI, KSI or KTI, we assume it can also be associated with an Objective, Perspective, CSF.

The generic term used for KPI/KSI/KTI is Measure.

For a better understanding of the invention and to show how the same may be carried into effect, reference will now be made, by way of example, to the accompanying drawings in which Figures 1 to 6 are respective screenshots generated during operation of the system.

In the invention, an important feature is the handling and on-screen presentation of certain Key Performance Indicators (KPIs) and Key Transformation Indicators (KTIs).

1. KPIs can be entered manually or automatically computed from a computer system or sensor. Use of KPIs is standard approach to management. In this invention, the combination of KPIs is derived from a workflow system with the performance management and knowledge management features below.
2. KPIs can be automatically computed from a workflow system, which itself routes and manages documents, each of which represents, for example, an insurance claim, or complaint. Computation of KPIs from workflow systems is a common feature of workflow systems. Combination of KPIs derived from a workflow system with the performance management and knowledge management features below is novel.
3. It is known practice to define KPIs in terms of levels of maturity with colour, pattern, visual, auditory or other sensory codes (in the case of colour coding, these are commonly known as traffic-lights) associated with each. (Examples include rating of level (RED=Low, YELLOW=Medium, GREEN=High, BLUE=Very

High) or ratings of projects, change, or achievement, for example (RED=No Plan, ORANGE=Plan, YELLOW=Plan Not On Track, GREEN=Plan On Track, Blue=Plan Done). For clarity, such measures are referred to here as Key Transformation Indicators (KTI). See Figure 1.

(Other products do measures, but do not deal with definition and rating against KTIs.)

4. As a further enhancement of this approach of colour coding the level of a KTI in a linear or one dimensional sequence, (or 2 or n-dimensional arrays of possible values can be stored in a database, spreadsheet or multidimensional database) and can be colour coded based on the current state of each KTI.
5. The states of such KTIs may be combined with other performance measures (for example sales values etc) and presented in a 2 dimensional array or Scorecard to show, for example, progress over time, where, for example, the rows of the array relate to different KTIs and the columns of the array relate to different time periods or to allow comparison, where the columns might, for example refer to different organisations, locations, budget vs actual, etc.
6. A value (word, or number, or symbol) denoting the KTI value can be included in the presentation of each cell in this display. See Figure 2.
(Other products do numbers and symbols, but not text. A previously proposed system does rating against levels, but only if those levels are defined numbers. As shown on Figure 3, in the present invention a word and checklist can be associated with each level for a defined KTI. The resulting colour coding and word is automatically displayed in the scorecard, rather than having to be manually set in separate traffic light formula for each KTI).

7. KTIs can be traffic lighted based on absolute value, or the difference between a target or forecast and actual value.
8. The current invention provides means – by mouse or keyboard or other input device or by programmatic calculation – to set the colour level of a KPI and record the resulting colour coding together with an indication of the level or value of the KTI.
 - a) Manual means – by selecting from a options or a picklist of possible values, each of which is associated with a KTI value. See Figure 4.
 - b) Manual means – by allowing a user to answer a checklist and computing the KTI value, based on these values.
 - c) Programmatic means – by computing the value for a KTI, based on computer data or input, for example, from the status of a customer account approval process in a financial accounting system or a project management system.

(The general idea of Analysis, Actions, Learnings is present in our current project, but not associated with KTIs which have textual values automatically fed into a scorecard.)
9. The current invention provides a means for capturing a project plan or strategy in an electronic form, including defining and rating of progress against KTIs and KPIs. With KTIs text values may be automatically rated with words.)
10. Progress of project plans captured in this way can be assessed manually or programmatically to generate a scorecard showing status of a project. Repeated assessment can automatically generate a scorecard showing trend in progress over time. See Figure 6.

11. The current invention allows a super-user or computer program to define templates which can in turn be used to capture plans in a standardised format, thereby capturing expertise in roadmaps for transformation, policy implementation, strategy execution etc.
- a) These templates allow combination of textual descriptions, questions and text capture fields with pre-defined sequences of KPIs, KSIs, KTIs, Objectives, CSFs, Perspectives. As a result Templates provide a means for capturing expertise and making it available for use by others.
 - b) KTIs can be used once, for example to assess overall project progress, or repeatedly for example to assess the maturity of a number of processes or client relationships.
12. Surveys (surveys may be included in plan templates). Generation of surveys from templates covering only the survey is one thing but this is improved in the invention by associating analysis, actions, learnings with survey results.
- a) Templates can include defined surveys to be used by all plans derived using the given template.
 - b) Plans can define surveys to be performed repeatedly.
 - c) Surveys consist of a number of questions.
 - d) Results are aggregated after each survey is taken and the results are traffic lighted into survey-derived KPIs, denoted KSIs (Key Survey Indicators) which can be displayed in a scorecard alongside KPIs and KTIs.
13. The current invention provides means for associating Analysis (descriptive text) with a KTI, KSI or KPI in a period, region, organisation, etc.

14. The current invention provides means for associating Action Plans, milestones and associated workflow (steps towards completion of actions) with a KTI, KSI or KPI in a period, region, organisation, etc.
15. The current invention provides means for recording Lessons Learned with Action Plans, milestones and associated with a KTI, KSI or KPI in a period, region, organisation, etc.
16. Properties of Analysis, Actions, Learnings, discussions
 - a) Each Analysis, Action, Learning can be associated with an organisation, region, mode (budget/actual), etc.
 - b) Analysis, Actions and Learnings can be linked together.
 - c) Each Analysis, Action, Learning can have a named owner.
 - d) Sub-tasks or milestones can also have named owners.
 - e) Analysis, Actions and Learnings can be associated with an individual KTI or KPI, or with a scorecard reflecting a collection of KTIs, KSIs and KPIs.
 - f) Discussions can be associated with particular KPIs, KSIs and KTIs.
17. Reports can be generated to include KPIs (numeric values), KTIs (including textual rating values), KSIs (Survey results), Traffic Lights, Analysis, Actions. In particular, an Executive Summary Report, generated automatically summarises an entire scorecard.
18. Security
 - a) Each Scorecard and KPI, KSI or KTI has an owner. In addition users or groups of users can be defined by the scorecard owner as readers and authors for KPI, KSI or KTI data and for Analysis, Actions and Learnings.

- b) By default all Scorecards, KPIs, KSIs, KTIs, Analysis, Actions, Learnings can be made available to all users or to no users.
- c) Scorecard owners may permit the groups of users associated with other scorecards to view their scorecards. This facilitates Peer to Peer usage.
- d) Scorecard templates can be defined by a named group of users.
- e) Scorecard templates may be used to complete plans by a further named group of users.

19. Reusability and DNA

- a) KPIs, KSI and KTIs are saved in a library for re-use within template definitions and plan definitions. (DNA)
- b) Sequences of KPIs, KSIs, and KTIs can also be grouped and saved for re-use, including grouped under an Objective, CSF or Perspective. (DNA strands.)
- c) It is possible to inherit the properties of one template for re-use in another.
- d) It is possible to lock a template, so that it can be used repeatedly and consistently.
- e) It is possible to lock a plan so that it cannot be changed, but can only be rated (to update a scorecard) after approval.
- f) It is possible to combine KPIs, KSIs and KTIs (also Objectives, Perspectives, CSFs) from two or more scorecards to create a hybrid scorecard.
- g) It is possible to browse and search for scorecards to support a particular purpose.

20. Knowledge Management

- a) Analysis, Actions, Learnings are here referred to as knowledge.

- b) Knowledge can be accessed by clicking on a particular scorecard, KPI, KSI, KTI, etc.
- c) Knowledge is accessible subject to security rights of the user.
- d) Knowledge relating to one or many organisations can be accessed via a portal ordered by:
 - i) Person
 - ii) Personal content – generated by me or for me (eg all my actions, all my learnings, etc.) (This has been disclosed for KPIs, but not for KSIs or KTIs.
 - iii) Organisation
 - iv) KPI/KSI/KTI – this is an important innovation. It means that there is no need for a search engine. The system has used the inherent metatags of the template/plan/scorecard/measure to link related knowledge.
 - v) Other user defined attributes associated with person, organisation, KPI/KSI/KTI.

21. Management of Values

22. Expertise Location

- a) By categorising people by Objective/CSF/Measure and Perspective/CSF/Measure, the system allows users to locate people with expertise and knowledge in a particular area.

23. Collaboration: Wherever there is a named owner, for example on Template, Plan, Scorecard, CSF, KPI/KSI/KTI, a user can click on the name to:

- a) Instant Message that user.

11

- b) Email that user.
- c) Start a discussion thread with that user.

24. Languages

- a) The current invention allows users to swap between user interface language while maintaining the same visual display of, for example scorecard.
- b) Also to show an automatically translated version of the system content in a chosen language.

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June 20, 2003

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1/2

ADBS Step by Step functionality

Define the traffic light colours to be used in the scorecard settings:

8. Step-by-step Traffic Lights

1	dark red	
2	red	↓
3	orange	↘
4	yellow	→
5	green	↗
6	blue	↑
7	white	
8	white	
9	white	
10	white	

Fig. 1

Configure the KPI document to use Step by Step traffic lights:

KPI Information	
KPI	HR Roadmap
KPI Type	Step by Step KPI Values
Definition	

Fig. 2

Define the textual data values and explanation of each text value in the KPI document:

KPI Data Values		
Numerical Values	Numbers Not Accepted	
Textual Values	Unspecified Text Not Accepted	
	Specified Text Accepted	
	Specified Text	Explanation
	1. "No Start"	"Not started"
	2. "No Plan"	"No plan defined"
	3. "Plan"	"Plan defined"
	4. "Off Track"	"In progress, but not on track"
	5. "On Track"	"In progress and on track"
	6. "Complete"	"Plan completed"
	7. "	"
	8. "	"
	9. "	"
	10. "	"

Fig. 3

2/2

Enter the appropriate text value for each reporting period in the ADBS application:

Fig. 4

View the traffic lit values in the ADBS application:

Fig. 5

Full screen:

Fig. 6

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